

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) King, Robert B.	2. Court or Organization U.S. Court of Appeals, 4th Circuit	3. Date of Report 04/26/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address 300 Virginia Street, East Suite 7602 Charleston, WV 25301	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Vice Chairman, Board of Directors	WVU College of Law Alumni Association
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)*

A. Filer's Non-Investment Income

☒ **NONE** *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*
(Dollar amount not required except for honoraria.)

☒ **NONE** *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒ **NONE** *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☐ NONE (No reportable liabilities.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. United Bank	Real Estate Loan (rental (investment) property in Morgantown, WV / Property sold 7/17/09	M
2. United Bank	Real Estate Loan residential property in Lewisburg, WV	N
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. TimeWarner Inc. (common)	B	Dividend	L	T					
2. Cisco Systems Inc. (common)		None	K	T	Buy (add'l)	09/14/09	J		
3. Proctor & Gamble Co. (common)	B	Dividend	L	T	Buy (add'l)	08/06/09	J		
4. Intel Corp. (common)	B	Dividend	L	T					
5. Microsoft Corp. (common)	B	Dividend	L	T	Buy (add'l)	08/28/09	J		
6. RF Micro Devices Inc. (common)		None	K	T					
7. Sun Micro Systems Inc. (common)		None	K	T					
8. Morgan Stanley Co. (common)	C	Dividend	L	T	Buy (add'l)	08/06/09	J		
9. Starbucks Corp. (common)	A	Dividend	K	T	Sold (part)	03/17/09	K	A	
10. Legg Mason Partners Appreciation Fund	A	Distribution	K	T					
11. Legg Mason Special Investment Trust	A	Distribution	K	T					
12. Legg Mason Value Trust	A	Distribution	K	T					
13. Legg Mason Growth Trust	A	Distribution	K	T					
14. Legg Mason American Leading Companies	A	Distribution	J	T					
15. Legg Mason Emerging Markets Trust	B	Distribution	K	T					
16. Legg Mason International Equity Trust	B	Distribution	K	T					
17. Legg Mason Small-Cap Value Trust	B	Distribution	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Legg Mason Partners Aggressive Growth Fund	A	Distribution	K	T					
19. Legg Mason Opportunity Trust	B	Distribution	J	T					
20. Legg Mason Partners Fundamental Value Fund	B	Distribution	K	T					
21. Royce Pennsylvania Mutual Fund	A	Distribution	J	T					
22. Royce Total Return Fund	A	Distribution	J	T					
23. Royce Trustshares Fund	A	Distribution	J	T					
24. Dell Computer Corp. (common)		None	J	T					
25. E.I. DuPont De Nemours & Co. (common)	A	Dividend	J	T					
26. Federal Home Loan Corp. (common)	A	Dividend			Sold	12/10/09	J	A	
27. Mineral interests, Tyler County, WV See below a, b, c, d, e									
28. a. East Resources Inc.	B	Royalty	J	W					
29. b. Ergon Oil Purchasing		None	J	W					
30. c. Dominion Appalachian Dev. Inc.	A	Royalty	J	W					
31. d. BD Oil Gathering Corp.	A	Royalty	J	W					
32. e. Texas Keystone, Inc.	A	Royalty	J	W					
33. Mineral Interests, Doddridge County, WV		None	J	W					
34. Mineral Interests, Wetzel County, WV		None	J	W					

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3. Value Method Codes (See Column C2)					

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35. Time Warner Cable Inc. (common)	A	Dividend	K	T	Spinoff (from line 1)	04/02/09	J		
36. XCEL Energy Inc. (common)	A	Dividend	J	T	Buy	08/06/09	J		
37. Applied Materials Inc. (common)	A	Dividend	J	T	Buy	08/28/09	J		
38. AT&T Inc. (common)	A	Dividend	J	T	Buy	08/28/09	J		
39. AT&T Inc. (common)	A	Dividend	J	T	Buy (add'l)	10/15/09	J		
40. Chesapeake Energy Corp. (common)	A	Dividend	J	T	Buy	08/28/09	J		
41. Petroleum Development Corp. (common)		None			Buy	08/28/09	J		
42. Petroleum Development Corp. (common)		None			Sold	10/15/09	J		
43. Bristol Myers Squibb (common)		None	J	T	Buy	09/14/09	J		
44. A123 Systems Inc. (common)		None	J	T	Buy	09/24/09	J		
45. AOL Inc. (common)		None	J	T	Spinoff (from line 1)	12/15/09	J		
46. Rental (investment) Property/Morgantown WV (Appraisal 2004)	D	Rent			Sold	07/17/09	M	G	JENJAC LLC Morgantown, WV

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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

UNITED STATES COURT OF APPEALS
FOR THE FOURTH CIRCUIT

The Robert C. Byrd United States Courthouse
300 Virginia Street, Suite 7602
Charleston, West Virginia 25301

ROBERT BRUCE KING
United States Circuit Judge

June 17, 2010

The Honorable Bobby R. Baldock
Chair, Committee on Financial Disclosure
Judicial Conference of the United States
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

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FINANCIAL
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Re: 2009 Financial Disclosure Report
Your Letter of June 8, 2010

Dear Judge Baldock:

I write in response to your letter of June 8, 2010, concerning my 2009 report, which was submitted on April 26, 2010.

First, I appreciate and thank you for your advice with respect to the disclosure of our personal residence mortgage. I also appreciate your referring me to page 32 of the filing instructions, and I now recognize that the second bullet point supports your statement.

Second, with respect to Part VII, page 5, lines 31 – 34 of my 2009 report, I respond to your letter as follows:

Lines 33 and 34: The identification of [REDACTED] mineral interests in “Doddridge County, WV” (line 33) and “Wetzel County, WV” (line 34) was made to satisfy the request made in your earlier letter of July 20, 2009 (concerning my 2008 report), to “disclose all cities or counties of West Virginia in which each of these interests are located.” The 2008 report had identified [REDACTED] mineral interests as being in “Tyler and other counties, WV, and those “other counties” are Doddridge and Wetzel. You will note that Tyler County, WV is also identified on line

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June 17, 2010
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27, with related cross-references to lines 28 through 32. In sum, I submit that lines 33 and 34 comply with your request of July 20, 2009, and with the filing instructions.

Line 31: The identification of BD Oil Gathering Corp. is made in Line 31 to identify the entity from which [REDACTED] received [REDACTED] in royalties in 2009, on certain of her mineral interests. In further assessing this disclosure, I note that this entity was not identified on my reports for 2005 through 2008, although [REDACTED] had received small royalty payments from BD Gathering in those years. Her payments from BD Gathering in those four years were as follows:

2005	[REDACTED]
2006	[REDACTED]
2007	[REDACTED]
2008	[REDACTED]

Prior to 2005, [REDACTED] did not receive royalty payments from BD Gathering.

Line 32: The identification of Texas Keystone, Inc. on Line 32 of the 2009 report reflects the first occasion [REDACTED] has received royalty payments from that entity. The sum received by her in 2009 was [REDACTED] which should be reflected by the income code of "B." Line 32 is thus erroneous in reflecting the income code of "A" (\$1,000 or less). An "X" in column A might have been appropriate (see page 42 of the filing instructions).

Third, I have ascertained that an additional entity made small royalty payments to [REDACTED] on her mineral interests in the years 2005 through 2008. More specifically, Petroedge Resources (WV) LLC made royalty payments to her as follows:

2005	[REDACTED] (using the name "Petrolux, Agent")
2006	[REDACTED]
2007	[REDACTED]
2008	[REDACTED]

* In about 2008, Petroedge apparently changed its name to Quest Eastern Resource. [REDACTED] has never received royalty payments from any such entity.

The Honorable Bobby R. Baldock

June 17, 2010

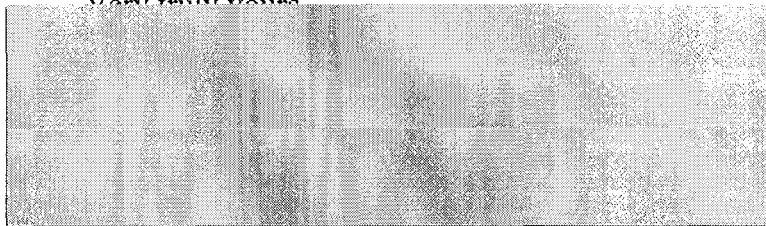
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Fourth, I appreciate your patience and assistance with respect to my reports. For the record, I hereby confirm that [REDACTED] is sentimentally attached to these minor mineral interests, which she acquired on the death of [REDACTED] and which were passed through to her from [REDACTED]. For that reason, she has no desire to relinquish these interests, which have become a complicating factor in the preparation of these reports.

Finally, if my reports should be more formally amended, I will be pleased to do so. In any event, this letter should also be considered as an amendment to all such reports as are relevant. Furthermore, it may be fully released to the public with my consent.

If there are further questions or comments, please let me know.

Very truly yours,

A large rectangular area of the document is completely redacted with a heavy black box, obscuring the signature and any accompanying text.

RBK/kss